

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q92967

Noboru YAMAZAKI, et al.

Appln. No.: 10/566,566

Group Art Unit: 1615

Confirmation No.: 6156

Examiner: Not Yet Assigned

Filed: August 21, 2006

For: TARGETING AND INTESTINAL-ABSORPTION CONTROLLED LIPOSOME
HAVING SUGAR CHAIN AND THERAPEUTIC DRUG FOR CANCER AND
DIAGNOSTIC DRUG CONTAINING THE LIPOSOME

REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

ATTN: Office of Initial Patent Examination
Filing Receipt Correction
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

We enclose a copy of the Official Filing Receipt for the above-identified application and
request the following corrections:

Assignment for Published Patent Application

~~National Institute of Advanced Industrial and Technology Science~~

National Institute of Advanced Industrial Science and Technology

REQUEST FOR CORRECTED OFR
U.S. Appln. No.: 10/566,566

Attorney Docket No.: Q92967

Verification for the requested corrections is indicated on the Assignment filed August 21,
2006.

Respectfully submitted,



Susan J. Mack
Registration No. 30,951

SUGHRUE MION, PLLC
Telephone: (202) 293-7060
Facsimile: (202) 293-7860

WASHINGTON OFFICE
23373
CUSTOMER NUMBER

Date: August 17, 2007

JM

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 PO Box 1450
 Alexandria, Virginia 22313-1450
www.uspto.gov

APPL NO.	FILING OR 371(c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	TOT CLMS	IND CLMS
10/566,566	08/21/2006	1615	4820	Q92967	78	2

CONFIRMATION NO. 6156

23373
 SUGHRUE MION, PLLC
 2100 PENNSYLVANIA AVENUE, N.W.
 SUITE 800
 WASHINGTON, DC 20037

CORRECTED FILING RECEIPT



OC000000024917398

Date Mailed: 07/19/2007

Receipt is acknowledged of this nonprovisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Noboru Yamazaki, Ibaraki, JAPAN;
 Hideo Tsurushima, Ibaraki, JAPAN;
 Shuji Kojima, Ibaraki, JAPAN;

Assignment For Published Patent Application

National Institute of Advanced Industrial and Technology Science Tokyo, JAPAN

NATIONAL INSTITUTE OF ADVANCED INDUSTRIAL SCIENCE AND TECHNOLOGY

Power of Attorney: The patent practitioners associated with Customer Number 23373.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP04/11291 07/30/2004

Foreign Applications

JAPAN 2003-285432 08/01/2003
 JAPAN 2004-093872 03/26/2004

If Required, Foreign Filing License Granted: 04/03/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/566,566**

Projected Publication Date: Not Applicable

Non-Publication Request: No

Early Publication Request: No

Title

Targeting and intestinal-absorption controlled liposome having sugar chain and therapeutic drug for cancer and diagnostic drug containing the liposome

Preliminary Class

424

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

LICENSE FOR FOREIGN FILING UNDER

Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING

"LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

Attorney's Docket No.: _____
Assignment of Application

WHEREAS, I (WE) _____
Noboru YAMAZAKI, Hideo TSURUSHIMA and Shuji KOJIMA of _____
all c/o National Institute of Advanced Industrial Science and Technology,
Tsukuba Central 5, 1-1, Higashi 1-chome, Tsukuba-shi, Ibaraki 305-8565 Japan
_____, respectively,
have invented certain new and useful improvements in: TARGETING AND
INTESTINAL-ABSORPTION CONTROLLED LIPOSOME HAVING SUGAR CHAIN AND
THERAPEUTIC DRUG FOR CANCER AND DIAGNOSTIC DRUG CONTAINING THE LIPOSOME
for which an application for Letters Patent was executed on July 10, 2006
(Application No. 10/566,566 , filed February 1, 2006), and

WHEREAS, NATIONAL INSTITUTE OF ADVANCED INDUSTRIAL
SCIENCE AND TECHNOLOGY
(hereinafter referred to as "ASSIGNEE") having a place of business at: _____
3-1, Kasumigaseki 1-chome, Chiyoda-ku, Tokyo 100-8921 Japan
is desirous of acquiring the entire right, title and interest in and to said
invention and in and to any Letters Patent that may be granted therefore in the
United States and its territorial possessions and in any and all foreign countries;

NOW, THEREFORE, in consideration of the sum of FIVE DOLLARS (\$5.00),
the receipt whereof is hereby acknowledged, and for other good and valuable
consideration, I (WE), by these presents do sell, assign and transfer unto said
ASSIGNEE, the full and exclusive right to the said invention in the United
States and its territorial possessions and in all foreign countries and the entire
right, title and interest in and to any and all Letters Patent which may be
granted therefor in the United States and its territorial possessions and in any
and all foreign countries and in and to any and all divisions, reissues,
continuations, substitutions and renewals thereof.

I (WE) hereby authorize and request the Patent Office Officials in the United
States and its territorial possessions and any official of any and all foreign
countries to issue any and all of said Letters Patent, when granted, to said
ASSIGNEE as the assignee of my (our) entire right, title and interest in and to
the same, for the sole use and behoof of said ASSIGNEE, its (his) successors
and assigns, to the full end of the term for which said Letters Patent may be

granted, as fully and entirely as the same would have been held by me (us) had this Assignment and sale not been made.

Further, I (WE) agree that I (WE) will communicate to said ASSIGNEE or its legal representatives and assigns covenant and any facts known to me (us) respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuation, substitute, renewal and reissue applications, execute all necessary assignment papers to cause any and all of said Letter Patent to be issued to said ASSIGNEE, make all rightful oaths, and, generally do everything possible to aid said ASSIGNEE, its (his) successors and assigns, to obtain and enforce proper protection for said invention in the United States and its territorial possessions and in any and all foreign countries.

The undersigned hereby grant(s) the firm of SUGHRUE MION, PLLC, 2100 Pennsylvania Avenue, N.W., Washington, D.C. 20037-3213 U.S.A. the power to insert on this assignment any further identification, including the application number and filing date, which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

Date: July 10, 2006

Noboru Yamazaki

(Signature of inventor) Noboru YAMAZAKI

Date: July 10, 2006

Hideo Tsurushima

(Signature of inventor) Hideo TSURUSHIMA

Date: July 10, 2006

Shuji Kojima

(Signature of inventor) Shuji KOJIMA